

06-14-00

A

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
CNA-018-DIVTotal Pages in this Submission  
44**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

PRECISION CONTINUOUS SURFACE GUIDED OPTICAL MODULE CARRIER AND METHOD OF USING SAME

and invented by:

CHANDLER, ET AL.

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/144,434

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 28 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
CNA-018-DIV

Total Pages in this Submission  
44

## Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☒ Formal                      Number of Sheets 7
- b. ☐ Informal                      Number of Sheets \_\_\_\_\_
4. ☒ Oath or Declaration
- a. ☐ Newly executed (original or copy)                      ☐ Unexecuted
- b. ☒ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☐ With Power of Attorney                      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy (identical to computer copy)
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement/PTO-1449                      ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class    ☒ Express Mail (Specify Label No.): EL358870406US

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
CNA-018-DIV

Total Pages in this Submission  
44

## Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

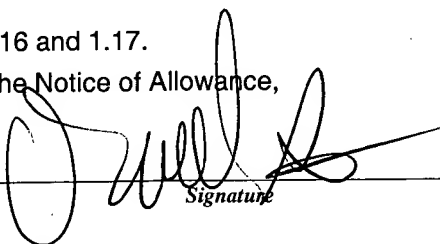
16. ☐ Additional Enclosures (please identify below):

## Fee Calculation and Transmittal

### CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	16	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	0	- 3 =	0	x \$78.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$690.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$690.00

- ☒ A check in the amount of **\$690.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. **50-0308** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☒ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

  
Signature

Dated: **June 13, 2000**

CC:

June 13, 2000

Attorney Docket No. CNA-018-DIV

**Box PATENT APPLICATION**  
**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

Re: New U.S. Patent Application  
Title: PRECISION CONTINUOUS SURFACE GUIDED OPTICAL  
MODULE CARRIER AND METHOD OF USING SAME  
Inventors: William Keith Chandler, Andrei Csipkes, Thomas Boyer and  
Charles Benner

**TRANSMITTAL LETTER**

Sir/Madam:

The above-referenced patent application is a divisional of application Serial No. 09/144,434, filed September 1, 1998. We enclose the following papers for filing in the United States Patent and Trademark Office in connection with the Divisional application.

1. Utility Patent Application Transmittal (Form P01ULRG/REV04)
2. Application - 28 pages;
3. Drawings - 7 sheets of formal drawings;
4. Copy of Declaration from prior application Serial No. 09/144,434;
5. Information Disclosure Statement and PTO Form 1449;

**Certification Under 37 C.F.R. Section 1.10**

I hereby certify that this Transmittal Letter and the documents referred to as enclosed therein is being deposited with the United States Postal Service on this 13<sup>th</sup> day of June, 2000 in an envelope marked as "Express Mail Post Office to Addressee" Mail Label Number EL358870406US addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Carol S. Parker-Hines  
(type or print name of person mailing paper)

(signature of person mailing paper)

6. Check for \$690.00; and,

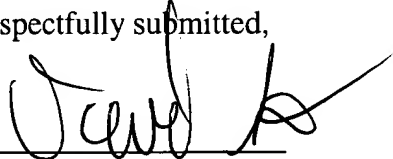
7. Preliminary Amendment canceling claims 1, 7, 10, 12, and 16-22.

If there are any other fees due in connection with the filing of this application, please charge the fees to our Deposit Account No. 50-0308. If a fee is required for an extension of time under 37 C.F.R. § 1.136 not accounted for above, such an extension is requested and the fee should also be charged to our Deposit Account.

Please accord this application a serial number and filing date.

Respectfully submitted,

By:

  
David L. Soltz  
Reg. No. 34,731

*CIENA Corporation*  
Legal Department  
1201 Winterson Road  
Linthicum, Maryland 21090  
Tel.: (410) 865-8078  
Fax: (410) 865-8001